

# UNITED STATES DISTRICT COURT

for the

Southern District of New York

State of New York, State of California, State of  
Connecticut, State of Delaware, District of Columbia,  
State of Maine, State of New Mexico, and State of  
Oregon

*Plaintiff(s)*

v.

United States Securities and Exchange Commission;  
and Walter "Jay" Clayton III, in his official capacity as  
Chairman of the United States Securities and  
Exchange Commission

*Defendant(s)*

Civil Action No. 19-cv-8365-VM

## SUMMONS IN A CIVIL ACTION

To: *(Defendant's name and address)* Walter "Jay" Clayton III, in his official capacity as Chairman of the United States Securities and Exchange Commission  
c/o United States Securities and Exchange Commission  
100 F Street NE  
Washington DC 20549

A lawsuit has been filed against you.

Within 21 days after service of this summons on you (not counting the day you received it) — or 60 days if you are the United States or a United States agency, or an officer or employee of the United States described in Fed. R. Civ. P. 12 (a)(2) or (3) — you must serve on the plaintiff an answer to the attached complaint or a motion under Rule 12 of the Federal Rules of Civil Procedure. The answer or motion must be served on the plaintiff or plaintiff's attorney, whose name and address are: Matthew Colangelo, Chief Counsel for Federal Initiatives  
Office of the Attorney General of the State of New York  
28 Liberty Street  
New York, NY 10005  
Tel: (212) 416-6057 E-mail: matthew.colangelo@ag.ny.gov  
(See additional counsel listed in attachment)

If you fail to respond, judgment by default will be entered against you for the relief demanded in the complaint. You also must file your answer or motion with the court.

CLERK OF COURT

Date: \_\_\_\_\_

\_\_\_\_\_  
*Signature of Clerk or Deputy Clerk*

Civil Action No. 19-cv-8365-VM

**PROOF OF SERVICE**

*(This section should not be filed with the court unless required by Fed. R. Civ. P. 4 (l))*

This summons for *(name of individual and title, if any)* \_\_\_\_\_  
was received by me on *(date)* \_\_\_\_\_ .

☐ I personally served the summons on the individual at *(place)* \_\_\_\_\_  
\_\_\_\_\_ on *(date)* \_\_\_\_\_ ; or

☐ I left the summons at the individual's residence or usual place of abode with *(name)* \_\_\_\_\_  
\_\_\_\_\_, a person of suitable age and discretion who resides there,  
on *(date)* \_\_\_\_\_ , and mailed a copy to the individual's last known address; or

☐ I served the summons on *(name of individual)* \_\_\_\_\_ , who is  
designated by law to accept service of process on behalf of *(name of organization)* \_\_\_\_\_  
\_\_\_\_\_ on *(date)* \_\_\_\_\_ ; or

☐ I returned the summons unexecuted because \_\_\_\_\_ ; or

☐ Other *(specify)*:

My fees are \$ \_\_\_\_\_ for travel and \$ \_\_\_\_\_ for services, for a total of \$ 0.00 .

I declare under penalty of perjury that this information is true.

Date: \_\_\_\_\_

\_\_\_\_\_  
*Server's signature*

\_\_\_\_\_  
*Printed name and title*

\_\_\_\_\_  
*Server's address*

Additional information regarding attempted service, etc:

**ATTACHMENT: ATTORNEYS FOR PLAINTIFFS**

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*\* Application for admission pro hac vice forthcoming*